

UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF SOUTH CAROLINA  
COLUMBIA DIVISION

James David Schofield, III, )  
Petitioner, ) C.A. No.: 3:19-02360-MGL  
vs. ) **ORDER AND JUDGMENT**  
Raymond James Financial Services, Inc., ) **CONFIRMING ARBITRATION**  
Respondent. ) **AWARD**  
\_\_\_\_\_  
)

This matter is before the Court on the motion of the movant, Joseph David Schofield III, for an order and judgment confirming an arbitration award in its entirety pursuant to the applicable provisions of 9 U.S.C. § 9.

The movant and respondents are parties to various contracts evidencing transactions involving commerce to settle by arbitration a controversy thereunder arising out of such contract or transaction within the meaning of 9 U.S.C. § 2. In 2019, the movant initiated an arbitration proceeding against the respondent by filing a statement of claim with the Financial Industry Regulatory Authority ("FINRA"), the successor to the National Association of Securities Dealers, Inc. The arbitrator conducted a hearing and issued an award (the "Award") on June 12, 2019. A copy of the Award is attached hereto as Exhibit A.

Accordingly, the Court having reviewed the record and being duly and sufficiently advised, it is ORDERED, ADJUDGED and DECREED that:

1. This court has subject matter jurisdiction of this action to confirm an arbitration award pursuant to 9 U.S.C. § 9.
2. This court has jurisdiction over the persons of the respondent because it has been duly served with process in accordance with 9 U.S.C. § 9.

3. Venue properly is established in this Court pursuant to 9 U.S.C. § 9 because the hearing site for the arbitration hearing which resulted in the subject award was Columbia, South Carolina.

4. The parties agreed, in written agreements evidencing transactions involving commerce, to settle by arbitration an existing controversy or any controversy thereafter arising out of such contract or transactions between the parties, under such agreements.

5. A copy of the Award, which was made on June 12, 2019, is attached as Exhibit A and is incorporated herein in its entirety by reference.

6. The parties have agreed and applicable law provides that a judgment may be entered upon the Award made pursuant to the arbitration proceeding.

7. Respondent Raymond James Financial Services, Inc. does not oppose confirmation of the award.

8. The movant's application for an order and judgment confirming the Award is GRANTED. The Award, the terms and conditions of which are incorporated herein in their entirety by reference, is confirmed as the judgment of this Court and, pursuant to 9 U.S. C. § 9, may be enforced as any other judgement or decree.

9. Pursuant to numerical paragraph 2 of the Award, it is hereby ordered as follows:

- i. all references to occurrence number 1797400 (the customer complaint received by Respondent on June 12, 2015 and denied by Respondent on June 26, 2015) shall be expunged from the movant, Joseph David Schofield III's registration records (CRD #2496116);
- ii. the "Yes" answer to Question 7(E)(3)(a) on the Form U5 and Order shall be amended to read "No;" and

iii. all information and entries set forth on the Customer Complaint/Arbitration/Civil Litigation Disclosure Reporting Page regarding Question 7(E)(3)(a) of the Form U5 shall be deleted in their entirety;

IT IS SO ORDERED.

s/Mary Geiger Lewis  
MARY GEIGER LEWIS  
UNITED STATES DISTRICT JUDGE

Columbia, South Carolina  
August 30, 2019